

AIR

S-E-C-R-E-T

EGFA-19090

TO : Chief, EE

FROM : Chief of Base, Frankfurt

SUBJECT: Operational/UPS/ING/CART/  
LCIMPROVE/CARETINA

Operational Information Secured  
from CARETINA

Reference: EGFA-18622

26 November 1957

INFO: COS  
POB

DECLASSIFIED AND RELEASED BY  
CENTRAL INTELLIGENCE AGENCY  
SOURCES METHOD EXEMPTION 3B2B  
NAZI WAR CRIMES DISCLOSURE ACT  
DATE 2006

1. During CARETINA's visit to Duesseldorf as [ ] house guest from 7 to 25 October 1957, his long conversations with [ ] introduced a certain amount of information of operational interest to KUBARK. A great deal of this information, however, was included in the material contained in CARETINA's briefcase, which [ ] was able to photograph surreptitiously, and most of the rest relates to persons dealt with in this material. The information gathered in conversation is therefore reported by the annexes to this dispatch which transmit the documentary material as a separate cover attachment.

2. The following general information on the material in CARETINA's briefcase is reported as being helpful in dealing with it:

A. Since [ ] worked alone in a delicate operational situation without knowing how much time he had or whether another entry would be possible, it was necessary to photograph first the material which seemed on cursory inspection to be of most value. The material has therefore been rearranged after development and printing to present it in the order in which it was found in the briefcase. Annex M transmits the negatives with instructions for printing and arranging them in the event additional sets of prints are desired.

B. All material photographed was contained in four file folders within the briefcase, as indicated in the annexes. Although [ ] believes that he was able to photograph all, or nearly all, documents containing information of intelligence interest in these four folders, a few items were rejected in going through them. Most important of these were an essay which CARETINA had written on his own interpretation of the political situation within the USSR and its implications. Another was a similar monograph on Soviet youth. The rest were individual sheets and scraps of paper of no apparent value.

C. In addition to the above four folders, the briefcase contained a sheaf of personal correspondence between CARETINA and his wife and sons, a folder containing the original of much of the material which had previously been photographed in carbon copies, books and reading matter, and blank paper. None of this was worth photographing except the personal correspondence, which [ ] wanted to photograph but could not worth the additional risk of compromise at the time. There was no further opportunity to do so.

D. The bulk of the material, contained in one folder, is CARETINA's  
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5-2-8-4  
Rote Kapelle

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account, being prepared for [REDACTED], of his background and career. It heavily emphasizes the Identity I operation and his subsequent experiences in the USSR and includes individual sections on German and Soviet intelligence officers, agents, and others with whom CARTINA was associated in the course of his professional activities during the war, his years as a prisoner in the USSR, and since his repatriation. Most of the material is still in preliminary form and much consists of hand-written drafts and notations in no logical order. It is transmitted however, in the order in which it was found.

E. Without having been able to make a study of the material, [ ] has looked through it and included comments based on his conversation with CARTINA during the past fifteen months whenever it seemed helpful to do so. It is not unlikely, however, that [ ] might be able to contribute additional assistance in interpreting some of the problems which may arise in whatever further processing of the material is undertaken.

F. It was not possible to gain access to CARTINA's notebook, which contains many names and addresses, since he kept it on his person.

G. However the briefcase material is assessed, [ ] cannot believe that it was planted by CARTINA for him to appropriate. On previous visits CARTINA always carried his briefcase with him, even when simply going into the city for an hour or packed the documents into his suitcase when leaving the briefcase itself behind. On this occasion, the briefcase was quite heavy and his strength was simply not equal to taking it with him. He kept it locked, however, whenever he left it behind and this alone argues against its having been planted. It is possible that CARTINA weighed the chances that [ ] might attempt to examine his material, discounted it heavily, and simply assumed the remaining risk. He may even have calculated that, at worst, compromise of the material to [ ] would not damage him seriously, perhaps not reckoning with photography.

H. If it is argued, for the sake of argument, that CARTINA did plant the material for [ ] it cannot seriously be doubted that the material itself is authentic, in the sense that it is being prepared for delivery to UPWING, though it is not certain that UPWING will receive it or all of it.

I. [ ] cannot state quite as flatly that CARTINA did not or has not become aware that [ ] entered, or may have entered, his briefcase. During the period when [ ] was attempting to open the lock and had not yet been successful, CARTINA, who had been leaving his briefcase in [ ] study where he wrote letters during the day, remarked one evening that he thought he would take his briefcase upstairs and go to bed. This remark unsettled [ ] a little, especially when CARTINA a day or two later described a discussion with a French intelligence officer about a hypothetical operation involving, say, the theft of Molotov's briefcase. But CARTINA thereafter repeatedly left his briefcase, with contents untouched as far as [ ] could determine, when he left the house, though he did keep it in his briefcase when he did so. [ ] decided that such remarks were not made with any sort of subtle emphasis, were confidential and proceeded with the operation.

CIA RIC/FILES, EXT. 2153

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NOX NO. - 6510 B-5-C-R-4

[ ] also experienced some apprehension on the score of leaving the briefcase after each entry exactly as he had found it and took great care to do so. The only important obstacle met with here was the fact that the carbon copies of about thirty pages of the section on Identity 1 had the appearance of having been trimmed along the right-hand margin on a paper cutter so as to crimp them very slightly together in a way which could not be perfectly restored after photographing. (See prints.) Rather than reject them, [ ] simply relied on CARETINA's probable failure to notice the change and his probable psychological resistance to drawing the correct conclusion if he did, especially if he should not notice it until sometime after leaving [ ] home. This was likely, since he was not working with this section of the material and would not be very likely to have occasion to refer to it.

[ ] has since decided, by examination of the prints, that the sheets had not been trimmed but that the effect of trimming was produced by taping on the original copy up to or just the edge of the carbon copy beneath. The crimped effect was therefore probably due to pressure applied at some time to this particular sheaf. (This conclusion is supported by the fact that much of the other material have the same trimmed appearance, though they were not crimped.) CARETINA will therefore probably assume that he destroyed the crimped effect himself (if he has noticed it at all) since he is known to have handled the sheaf since it was crimped, when he read the first two pages of it aloud to [ ]. Finally, and very convincing to [ ] himself, there was not the slightest alteration in CARETINA's attitude toward [ ] during or after the operation. [ ] relationship to CARETINA, though conducted on two levels, is so intimate on the overt level that he believes he would have sensed the change in CARETINA which would necessarily have resulted from discovery or even real suspicion of the entry. On balance, therefore, [ ] believes it can be assumed with confidence that CARETINA did not and will not discover the compromise. This point may become important in the course of any possible future dealings with CARETINA as well as in assessing how faithfully UPWING keeps its promise to pass CARETINA's material to PCB.

Approved: [ ]

Attachments:

- A. Annex A-M u/s/c
- B. Identity List u/s/c
- C. Negatives of film u/s/c

Distribution:

- 3 - EE w/1 copy att. A & 3 copies att. B & 1 copy att. C
- 2 - COS w/1 copy att. A & 2 copies att. B
- 2 - PCB w/1 copy att. A & 2 copies att. B

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BOX NO. 629

Annex H to ENYA-19090

[Roll 8, Frames 1 - 18 inclusive. Eliminate Frame 8-1 as duplicating  
Frame 8-6.]

Note:

This material was found in the second of the four folders photographed. Several documents which appeared to be of no intelligence interest were not photographed, but all containing names or addressees were included.

Subject:

Personal letters, with one exception all written to Pannwitz, and miscellaneous notes in Pannwitz' handwriting. All letters were original copies.

Comment:

Frame 8-1: The inference that Joachim Hecht is an SD/SDPO officer in contact with Pannwitz is irresistible. [ ] has no doubt that "Herr D." is David J. Dallin, q.v. Pannwitz has never made any reference or given any hint in conversation with [ ] of a "Kirchenaktion", but it may be noted that he is close to the Evangelical Church (of association with "Lekommende Kirche" circles) and has many connections in church circles.

[ ] is not now quite certain that Frame 8-3 is the envelope for Frame 8-2, but there is no other apparent possibility. No empty envelopes were photographed and envelopes and letters were photographed together in all cases.

Frames 8-6 and 8-5 are the two sides of one document.

Frame 8-8 is the envelope for Frames 8-7 to 8-12. [ ] did not notice at the time that this letter is not addressed to Pannwitz but to one "Roland". The obverse of the envelope (not photographed) was presumably, but not necessarily, addressed to "Roland". "Roland" might be Rossek, q.v., but see "Roland L.", Frame 8-11.

[ ] has looked at these documents but has not studied them.